

# SEQUENCE LISTING

<110> Evotec NeuroSciences GmbH

<120> Diagnostic and Therapeutic Use of the human DAX-1 gene  
and protein for neurodegenerative diseases

<130> 042327wo Me/FM

<140> PCT/EP2004/052684

<141> 2004-10-28

<160> 15

<170> PatentIn Ver. 2.1

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Docket No.: 37998-237364  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Patent Application of:  
Von Der Kammer et al.

Art Unit: Not Yet Assigned

Application No: 10/595,619

Examiner: Not Yet Assigned

Confirmation No: 3638

Filed: May 1, 2006

Atty. Docket No: 37998-237364

For: DIAGNOSTIC AND THERAPEUTIC USE  
OF THE HUMAN DAX-1 GENE AND  
PROTEIN FOR NEURODEGENERATIVE  
DISEASES

---

Customer No:

**26694**

PATENT TRADEMARK OFFICE

**INFORMATION DISCLOSURE STATEMENT (IDS)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is filed before the mailing date of a first Office Action on the merits as far as is known to the undersigned (37 CFR 1.97(b)(3)).

In order to comply with the duty of disclosure pursuant to 37 C.F.R. § 1.56, submitted herewith is a form listing the documents cited in the International Search Report of International

Application No. PCT/EP2004/053573. The relevance of each document is indicated in the International Search Report.

Copies of the documents are not being provided since copies are furnished directly by WIPO under an exchange program between the PTO, the EPO and the JPO.

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists. In accordance with 37 CFR 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed references.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 22-0261, under Order No. 37998-237364. A duplicate copy of this paper is enclosed.

Dated: May 7, 2007

Respectfully submitted,

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DC2/856087



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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/595,619-Conf. #3638
				Filing Date	May 1, 2006
				First Named Inventor	Heinz Von Der Kammer
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	37998-237364

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA*	US-2002/068815	06-06-2002	Edward R. McCabe et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	Zanaria, Elena et al., "An unusual member of the nuclear hormone receptor superfamily responsible for x-linked adrenal hypoplasia congenita," Nature, vol. 372, no. 6507, 1994, pgs. 635-641	
	CB	Guo, Weiwen et al., "Expression of DAX-1, the gene responsible of X-linked adrenal hypoplasia congenita and hypogonadotropic hypogonadism, in the hypothalamic-pituitary-adrenal/gonadal axis," Biochemical and Molecular Medicine, vol. 56, no. 1, 1995, pgs. 8-13	
	CC	Kopp, Peter, "Targeted disruption of the Ahc (Dax-1) gene: Knockout of old concepts," European Journal of Endocrinology, vol. 140, no. 4, April 1999, pgs. 291-292	
	CD	Eckey, Maren et al., "Mixed lineage kinase 2 enhances trans-repression of Alien and nuclear receptors," Molecular and Cellular Endocrinology, vol. 213, no. 1, 12/31/2003, pgs. 71-78	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/EP2004/052684

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 G01N33/68 G01N33/50 A01K67/027

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 G01N A01K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)  
EPO-Internal, BIOSIS, WPI Data, PAJ, Sequence Search

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 2002/068815 A1 (MCCABE EDWARD R. B ET AL) 6 June 2002 (2002-06-06) abstract paragraphs '0013!, '0017!, '0018!, '0136! - '0149!; claims 8,14,20; example 3	3,9
A	ZANARIA ELENA ET AL: "An unusual member of the nuclear hormone receptor superfamily responsible for x-linked adrenal hypoplasia congenita" NATURE (LONDON), vol. 372, no. 6507, 1994, pages 635-641, XP002339051 ISSN: 0028-0836 abstract page 638, column 2, paragraphs 2,3 ----- -/--	1-16

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

### \* Special categories of cited documents:

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
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- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
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- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
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Date of the actual completion of the international search

4 August 2005

Date of mailing of the international search report

22/08/2005

Name and mailing address of the ISA  
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NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

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Klee, B

## INTERNATIONAL SEARCH REPORT

International Application No  
PCT/EP2004/052684

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
P,A	ECKEY MAREN ET AL: "Mixed lineage kinase 2 enhances trans-repression of Alien and nuclear receptors." MOLECULAR AND CELLULAR ENDOCRINOLOGY, vol. 213, no. 1, 31 December 2003 (2003-12-31), pages 71-78, XP002339011 ✓ ISSN: 0303-7207 abstract page 75, column 2, paragraph 2 - page 77, column 1, paragraph 5 -----	1-16
A	GUO WEIWEN ET AL: "Expression of DAX-1, the gene responsible of X-linked adrenal hypoplasia congenita and hypogonadotropic hypogonadism, in the hypothalamic-pituitary-adrenal/gonadal axis" BIOCHEMICAL AND MOLECULAR MEDICINE, vol. 56, no. 1, 1995, pages 8-13, ✓ XP002339052 ISSN: 1077-3150 cited in the application abstract page 10, column 1, paragraph 4 - page 12, column 1, paragraph 1 -----	1-16
X	KOPP PETER: "Targeted disruption of the Ahch (Dax-1) gene: Knockout of old concepts" EUROPEAN JOURNAL OF ENDOCRINOLOGY, vol. 140, no. 4, April 1999 (1999-04), pages 291-292, XP002339200 ✓ ISSN: 0804-4643 the whole document -----	4,5

### Information on patent family members

PCT/EP2004/052684

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 2002068815 A1	06-06-2002	AU 6601096 A WO 9704810 A1	26-02-1997 13-02-1997